



**Indiana
Utility Regulatory
Commission**

The Indiana Utility Regulatory Commission understands there are times when small utilities need to increase rates but don't have the staff or the money needed to finance a full-blown rate case. That is why small utility filings are available.

IC 8-1-2-61.5 and Rule 170 IAC 14 allow small utilities to raise rates through a less cumbersome regulatory process. A copy of the law and rule are available on the state's Web site.

Indiana Utility Regulatory Commission:
www.IN.gov/iurc

Indiana Code:
www.in.gov/legislative/ic/code/title8

Indiana Administrative Code:
www.in.gov/legislative/iac/title170

Small utility filing forms can be obtained through the Commission.

Contact Information:

**Director of Water/Sewer Division
Indiana Utility Regulatory Commission
101 W. Washington Street
Suite 1500 E.
Indianapolis, IN 46204**

**Main Switchboard: 317.232.2701
Toll Free: 1.800.851.4268
Fax: 317.232.6758**

Please refer to the rules in the Indiana Administrative Code (IAC) for more specific details and instructions.

*These rules can be found under "Article 14: Small Utilities" on the following Web site:
www.in.gov/legislative/iac/title170.*

Small Utility Filings for Rate Changes

What is it?

The small utility rate application was established to provide small utilities with an opportunity to increase rates and charges through a less costly regulatory procedure. Under the small utility rate application procedure, a utility completes standard forms that can be obtained through the Indiana Utility Regulatory Commission ("Commission"). These forms can be filed with the Commission without the need for an attorney or accountant.

Do we qualify?

Small utility filings are available to any regulated utility that:

- serves fewer than five thousand (5,000) customers,
- primarily provides retail services to customers and
- does not extensively serve another utility.

Why should our utility company consider "U Filing"?

- The small utility application process does not require a utility to use an attorney or accountant. Thus, these expenses may be avoided if an evidentiary hearing is not required.
- If utility personnel have questions when completing the forms, the utility can contact the Indiana Office of Utility Consumer Counselor (OUCC) or the Commission.
- Financing approval can be requested and received.
- Phased-in rates can be requested and approved.
- Changes to non-recurring customer charges can be requested and approved.

However, a public hearing is required if the petition is challenged by:

- The Indiana Office of Utility Consumer Counselor,
- a public or municipal corporation,
- ten (10) individual firms, businesses or associations or
- ten (10) complainants from any class.

The challenge must be in writing and received within forty (40) days from the date the rate application was filed.

Because a public field hearing meets the public hearing requirement, it may be held in lieu of setting a procedural schedule that concludes with an evidentiary hearing.

How do we apply for a Small Utility Rate Change?

Standard forms are available through the Commission in paper copy or Microsoft Excel format. The forms vary depending on the utility's ownership type (i.e., investor-owned, not-for-profit, municipality).

A completed application form should include a copy of:

- The ordinance or resolution of the utility's governing body authorizing the application to change rates.
- The proposed legal notice of rate change notification for publication in a newspaper of general circulation in all counties the utility serves.
- Proof of newspaper publication at least fifteen (15) days after the completed application is filed.
- The letter sent to customers notifying them of the rate change.
- The proposed tariff.

- Work papers or documentation to support adjustments and other revenue requirements.

Additionally,

- Not-for-profits, conservancy districts and municipal utilities should include a verified statement from the utility's manager about the existence of outstanding debt to the federal government.
- Written consent must also be provided to allow a rate increase without a formal public hearing from any agency of the federal government that is a creditor.

What and where do we file?

- File the original and five (5) copies of the rate change application with the secretary of the Commission:

Indiana Utility Regulatory Commission
Attn: Secretary of the Commission
101 W. Washington Street, Suite 1500 E.
Indianapolis, IN 46204

- A copy should also be mailed to:

Indiana Office of Utility Consumer Counselor
115 W. Washington Street, Suite 1500 S.
Indianapolis, IN 46204

Main Switchboard: 317.232.2494
Toll Free: 1.888.441.2494
Fax: 317.232.5923

To obtain the appropriate forms or to make inquiries regarding your filing or documentation received, contact:

Director of Water/Sewer Division
Indiana Utility Regulatory Commission
101 W. Washington Street, Suite 1500 E.
Indianapolis, IN 46204

Main Switchboard: 317.232.2701
Toll Free: 1.800.851.4268
Fax: 317.232.6758